

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:)	Group Art Unit: 1631
)	
Michael J. Heller)	Examiner: Not Yet Assigned
)	
Serial No.: Not Yet Assigned)	
)	
Filed: Herewith)	
)	
For: AFFINITY BASED SELF-ASSEMBLY)	
SYSTEMS AND DEVICES FOR)	
PHOTONIC AND ELECTRONIC)	
APPLICATIONS)	

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with 37 CFR §§ 1.97 and 1.98, the items identified in this Information Disclosure Statement ("IDS") are brought to the attention of the Office. In accordance with §1.98(d), copies of some or all of the references listed on the attached Form PTO-1449 are not enclosed herewith because they were previously cited by or submitted to the Patent and Trademark Office in prior Application Serial No. 08/760,933, for which a claim for priority under 35 U.S.C. §120 has been made in the instant application. Accordingly, Applicant will provide duplicate copies in respect of the present case only if the Examiner so desires.

CERTIFICATE OF MAILING
(37 C.F.R. §1.10)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IR1:1045602.1

DENISE N. DOSS

Name of Person Mailing Paper

Denise N. Doss

Signature of Person Mailing Paper

The items identified in this IDS may or may not be “material” pursuant to 37 CFR § 1.56. The submission thereof by Applicant is not to be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR § 1.97(h)), or even qualifies as “prior art” under 35 USC § 102 with respect to this invention unless specifically designated by Applicant as such.

INFORMATION DISCLOSURE STATEMENT FILING PROVISION:

☒ This IDS is believed to be timely in that it is being submitted under 37 CFR § 1.97(b), that is (1) within three months of the filing date of the application, which is not a continued prosecution application filed under § 1.53(d); or (2) within three months of entry of the national stage as set forth in 37 CFR § 1.491; or (3) before the mailing of a first Office action on the merits; or (4) before the mailing of a first Office action after filing a request for continued examination under § 1.114. Thus, no fee is required.

☒ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and charge the fee due under 37 CFR § 1.17(p) to the deposit account referenced below.

☐ However, if the undersigned is in error in this regard, Applicant respectfully requests that the Office consider this IDS as filed under 37 CFR § 1.97(c), if applicable, and a statement under 37 CFR § 1.97(e) is included below, thus no fee is required.

☐ This IDS is being submitted under 37 CFR § 1.97(c), that is after mailing of a first Office action on the merits, but before a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311.

☐ The fee due under 37 CFR § 1.17(p) is submitted herewith.

☐ A statement under 37 CFR § 1.97(e) is included below, thus no fee is required. In the event that this IDS is not received before a Final Action or a Notice of Allowance, then Applicant respectfully requests that the Office consider the filing of these papers to be submitted under 37 CFR § 1.97(d) and charge the fee due under 37 CFR § 1.17(p) to the deposit account below.

☐ This IDS is being submitted under 37 CFR § 1.97(d), that is after a Final Action under 37 CFR § 1.113 or a Notice of Allowance under 37 CFR § 1.311, but before payment of the issue fee. A statement under 37 CFR § 1.97(e) is included below. The fee due under 37 CFR § 1.17(p) is submitted herewith.

Statement Under 37 CFR § 1.97(e):

☐ No item contained in this IDS was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this statement after making reasonable inquiry, no item of information contained in this IDS was known to any individual designated in 37 CFR § 1.56(c) more than three months prior to the filing of this IDS.

PAYMENT AND/OR AUTHORIZATION TO CHARGE FEES:

- ☐ A check in the amount of \$ _____ is enclosed for the above fee(s).
☐ Please charge _____ to Deposit Account No. 50-0639 for the above fee(s).

The Commissioner is authorized to charge any fees required by the filing of these papers, and to credit any overpayment to O'Melveny and Myer's Deposit Account No. 50-0639.

This statement should not be construed as a representation that more material information does not exist or that an exhaustive search of the relevant art has been made. Nor does this statement constitute an admission by Applicants or Applicants' agent that the information provided herein is necessarily prior art to Applicants' invention. Moreover, Applicants reserve the right to establish the patentability of the claimed invention over any of the listed documents should they be applied there-against as references. Please charge any deficiency or credit any overpayment of fees to Deposit Account No. 50-0639.

Respectfully submitted,

O'MELVENY & MYERS LLP

Dated:

July 31, 2003

By:

Diane K. Wong
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PATENT TRADEMARK OFFICE

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IR1:1045602. 13

FORM PTO-1449 LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 612,404-424	SERIAL NO. Not Yet Assigned
	APPLICANT: Michael J. Heller	
	FILING DATE: Herewith	GROUP: 1631

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AA	3,950,738	04/76	Hayashi et al	365	185	07/74
	AB	3,995,190	11/76	Salgo	313	391	12/75
	AC	4,032,901	06/77	Levinthal	365	118	06/75
	AD	4,563,419	01/86	Ranki et al	435	6	12/83
	AE	4,580,895	04/86	Patel	356	39	10/83
	AF	4,584,075	04/86	Goldstein et al	204	552	11/84
	AG	4,594,135	06/86	Goldstein	204	551	02/85
	AH	4,599,303	07/86	Yabusaki et al.	435	6	12/83
	AI	4,728,724	03/88	Jones Jr et al	430	19	04/85
	AJ	4,731,325	03/88	Palva et al.	435	6	01/85
	AK	4,751,177	06/88	Stabinsky	435	6	06/85
	AL	4,787,963	11/88	MacConnell	204	450	05/87
	AM	4,804,625	02/89	Morrison et al	435	7	09/84
	AN	4,816,418	03/89	Mack et al	436	518	07/85
	AO	4,822,566	04/89	Newman	422	82	05/87
	AP	4,822,746	04/89	Walt	436	528	06/86
	AQ	4,824,776	04/89	Heller et al	435	6	07/85
	AR	4,859,583	08/89	Heller et al	435	7	02/85
	AS	4,868,103	09/89	Stavrianopoulos et al	435	5	02/86
	AT	4,908,112	03/90	Pace	210	198	06/88
	AU	4,908,453	03/90	Cocuzza	548	113	01/89
	AV	4,996,143	02/91	Heller	435/6	6	04/90

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
	AW	5,063,081	11/91	Cozzette et al	435	4	08/90
	AX	5,075,077	12/91	Durley III et al	422	56	08/88
	AY	5,096,807	03/92	Leaback	435	6	12/89
	AZ	5,125,748	06/92	Bjornson et al	356	414	05/91
	BA	5,126,022	06/92	Soane et al	204	458	02/90
	BB	5,143,854	09/92	Pirrung et al	436	518	03/90
	BC	5,164,319	11/92	Hafeman et al	435	287	11/89
	BD	5,166,063	11/92	Johnson	435	173	06/90
	BE	5,200,051	04/93	Cozzette et al	204	403	11/89
	BF	5,202,231	04/93	Drmanac et al	435	6	06/91
	BG	5,219,726	06/93	Evans	435	6	06/89
	BH	5,227,265	07/93	DeBoer et al	430	41	11/90
	BI	5,231,626	07/93	Tadokoro et al	369	121	03/92
	BJ	5,234,566	08/93	Osman et al	204	403	04/91
	BK	5,278,051	01/94	Seeman et al	435	91	12/91
	BL	5,304,487	04/94	Wilding et al	435	29	05/92
	BM	5,312,527	05/94	Mikkelsen et al	205	777	10/92
	BN	5,316,900	05/94	Tsujioka et al	430	270	10/93
	BO	5,346,789	09/94	Lewis et al	430	19	11/92
	BP	5,355,577	10/94	Cohn	29	592	06/92
	BQ	5,380,833	01/95	Urdea	536	22	12/91
	BR	5,399,451	03/95	Hashida et al	430	19	04/93

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	BS	5,405,783	04/95	Parrung et al.	436	518	03/92
	BT	5,434,049	07/95	Okano et al	435	6	02/93
	BU	5,466,575	11/95	Cozzette et al.	435	6	09/92
	BV	5,505,700	04/96	Leone et al.	604	101	06/94
	BW	5,561,043	10/96	Cantor et al	435	6	01/94
	BX	5,565,322	10/96	Heller	435	6	05/94
	BY	5,567,811	10/96	Misiura et al.	536	25.34	05/91
	BZ	5,605,662	02/97	Heller et al.	422	68	11/93
	BAA	5,632,957	05/97	Heller et al.	422	68	09/94
	BBB	5,637,458	06/97	Frankel et al.	435	6	07/94
	BCC	5,653,939	08/97	Hollis et al	422	50	08/95
	CA	5,674,743	10/97	Ulmer	435	287	06/95
	CB	5,681,751	10/97	Begg et al.	436	89	05/95
	CC	5,723,345	03/98	Yamauchi et al.	435	518	06/95
	CD	5,741,462	04/98	Nova et al.	422	68.1	09/95
	CE	5,751,629	05/98	Nova et al.	365	151	06/95
	CF	5,789,167	08/98	Konrad	435	6	09/94
	CG	5,795,714	08/98	Cantor et al.	435	6	08/93
	CH	5,849,486	12/98	Heller et al.	435	6	09/95
	CI	5,874,214	02/99	Nova et al.	435	6	10/95
	CJ	5,925,562	07/99	Nova et al.	435	287.1	06/95
	CK	5,965,410	10/99	Chow et al.	435	91	11/97

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	CL	5,965,452	10/99	Kovacs	436	149	07/96
	CM	5,968,745	10/99	Thorp et al.	435	6	10/97
	CN	5,972,187	10/99	Parce et al.	204	453	03/97
	CO	5,972,692	10/99	Hashimoto et al.	435	285	06/97
	CP	6,017,696	01/00	Heller	435	6	07/94
	CQ	6,025,129	02/00	Nova et al.	435	6	12/95
	CR	6,033,546	03/00	Ramsey	204	603	09/98
	CS	6,048,690	04/00	Heller et al.	435	6	05/97
	CT	6,051,380	04/00	Sosnowski et al.	435	6	12/97
	CU	6,251,691	06/01	Seul	436	534	04/97
	CV	6,507,989	01/03	Bowden et al.	29	592	03/97

FOREIGN PATENT DOCUMENTS								
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO	
	CW	EP 0228075	07/87	Europe				
	CX	EP 0229943	07/87	Europe				
	CY	EP 0617303	09/94	Europe				
	CZ	GB 2156074	10/85	Great Britain				
	CAA	GB 2258236	02/93	Great Britain				
	CBB	WO 86/03782	07/86	PCT				
	CCC	WO 88/08528	11/88	PCT				

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	CDD	WO 89/01159	02/89	PCT				
	CEE	WO 89/10977	11/89	PCT				
	CFE	WO 90/01564	02/90	PCT				
	CGG	WO 92/04470	03/92	PCT				
	CHH	WO 93/09128	05/93	PCT				
	CII	WO 93/21663	10/93	PCT				
	CJJ	WO 93/22678	11/93	PCT				
	CKK	WO 95/07363	03/95	PCT				
	CLL	WO 96/01836	01/96	PCT				
	CMM	WO 98/28320	07/98	PCT				
	CNN	WO 99/29711	06/99	PCT				
	COO	57087	87	Yugoslavia				

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
	DA	Anand et al., "Pulsed Field Gel Electrophoresis" <u>Gel Electrophoresis Of Nucleic Acids-A Practical Approach</u> ,2 nd Ed., Eds. D.Rickwood & B.D.Hames (New York:IRL Press), 101-123 (1990)
	DB	Anderson et al., "Quantitative Filter Hybridization", <u>Nucleic Acid Hybridization-A Practical Approach</u> . Eds. B.D.Hames & S.J.Higgins (Washington D.C.:IRL Press), 73-111 (1985)
	DC	Baines, "Setting A Sequence To Sequence A Sequence", <i>Bio/Technology</i> , 10, 757-758, July 10, 1992
	DD	Barinaga., "Will 'DNA Chip' Speed Genome Initiative?", <i>Science</i> , 253, 1489, September 27, 1991
	DE	Bauer et al., "Robotic Nanomanipulation With An SPM In A Networked Computing Environment", website printout, http://alicudi.usc.edu:80 , 1-7, November 20, 1997
	DF	Beattie et al., The 1992 San Diego Conference: "Genosensor Technology", <i>Genetic Revolution</i> , 1-5, November (1992)
	DG	Beltz et al., "Isolation Of Multigene Familes & Determination Of Homologies By Filter Hybridization Methods", <i>Methods In Enzymology</i> , 100, 26-285 (1983)
	DH	Brown et al. , "Electrochemically Induced Adsorption Of Radio-Labelled DNA On Gold & HOPG Substrates For STM Investigations". <i>Ultramicroscopy</i> , 38, 253-264 (1991)
	DI	Bugart et al., "Multiplex Polymerase Chain Reaction", <i>Modern Pathology</i> , 5, (3), 320-323, May, 1992
	DJ	Callahan et al., "Alignable Liftoff Transfer Of Device Arrays Via A Single Polymeric Carrier Membrane", <i>Electronics Letters</i> , 29, 951-953, May 27, 1993
	DK	Cardullo et al., "Detection Of Nucleic Acid Hybridization With Synthetic Olgonucleotides", <i>Proc.Natl.Acad.Sci.USA</i> , 85, 8790-8794, December, 1988
	DL	Connor et al., "Detection Of Sickel Cell β^1 -Globin Allele By Hybridization With Synthetic Oligonucleotides". <i>Proc.Natl.Acad.Sci.USA</i> , 80, 278-282, January, 1983
	DM	Cuberes, "Room Temperature Repositioning Of Individual C ₆₀ Molecules At Cu Steps: Operation Of A Molecular Counting Device", <i>Appl.Phys.Lett.</i> , 69, (20), 3016-3018 (1996)
	DN	Dagani, "Putting The Nano Finger On Atoms", <i>C&EN</i> , 20-23, December 2, 1996
	DO	Drmanac et al., "Sequencing Of Megabase Plus DNA By Hybridization: A Strategy For Efficient Large Scale Sequencing" <i>Genomics</i> , 4,114-128 (1989)
	DP	Drmanac et al., "DNA Sequence Determination By Hybridization: A Strategy For Efficient Large Scale Sequencing". <i>Science</i> , 260, 1649-1652, June 11, 1993
	DQ	Esener et al., "Punch-Through Current Under Diffusion Limited Injection: Analysis & Applications". <i>J.Appl.Phys.</i> , 12, 1380-1387, August, 1985
	DR	Esener et al., "Design Considerations For Three-Terminal Optically Addressed MQW Spatial Light Modulators". Presented at The Annual Meeting Of OSA, at Seattle, Wash, October, 1986

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
DS	Esener et al., "One Dimensional Silicon/PLZT Spatial Light Modulators".	<i>Opt.Eng.</i> , 26, (5), 406-413, (Also in: <i>Proc.SPIE Annual Meeting In San Diego</i> , 8/86), May, 1987
DT	Fan et al., "Fundamental Bandgap & Schottky Barrier Height Of Quarternary In AlGa As Grown On GaAs".	MRS Meeting, Spring, 1992
DU	Fan et al., "Quantum-Confined Stark Effect Modulators At 1.06 μm On GaAs", accepted for publication,	<i>IEEE Photonics Technology Letter</i> , 6, (12), 1383-1385, December, 1993
DV	Feldman et al., "A Comparison Of Electrical & Free Space Optical Interconnections"	<i>Appl.Opt.</i> , 27, 1742-1751 (1998)
DW	Fodor et al., "Light Directed, Spatially Addressable Parallel Chemical Synthesis".	<i>Science</i> , 251, 767-773 (1991)
DX	Fodor et al., "Multiplexed Biochemical Assays With Biological Chips".	<i>Nature</i> , 364, 555-556 (1993)
DY	Garner et al., "Absorption Detection In Capillary Electrophoresis By Fluroescence Energy Transfer".	<i>Anal.Chemistry</i> , 62, (2), 2193-2198, October 15, 1990
DZ	Glazer et al., "Emerging Techniques Physofluor Probes",	<i>Trends In Biochemical Sciences</i> , 9, (10), 423-427 (1984)
EA	Haddon et al., "The Molecular Electronic Device & The Biochip Computer: Present Status",	<i>Proc.Natl.Acad.Sci.USA</i> , 82, 1874-1878 (1985)
EB	Halfhill, "New Memory Architectures To Boost Performance",	<i>Byte</i> , 86-87, July, 1993
EC	Heller, "An Active Microelectronics Device For Multiplex DNA Analysis",	<i>IEEE Engineering In Medicine & Biology</i> , 15, (2), 100-104, March-April, 1996
ED	Heller et al., "Interaction Of Divalent Manganese Ion With Adenosine Triphosphate & Related Compounds",	<i>Biochemistry</i> , 9, (25), 4970 (1970)
EE	Heller et al., "Interactions Of Miracil D With Double-Stranded Polyadenylic Acid & Polyuridylic Acid",	<i>Biochemistry</i> , 13, 1623 (1974)
EF	Heller et al., <u>Rapid Detection & Infection Of Infectious Diseases</u> . Eds. Kingsbury et al. (New York: Academic Press),	245-256 (1986)
EG	Heller et al., "Chemiluminescent and Fluorescent DNA Probes In Hybridization Systems", <u>Rapid Detection & Identification Of Infectious Agents</u> . Eds. Kingsbury et al. (New York: Academic Press),	345-365 (1985)
EH	Heller et al., "Self-Organizing Structures Based On Functional Synthetic Nucleic Acid Polymers",	<i>Nanotechnology</i> , 2, 165-171 (1991)
EI	Heller et al., "Microelectrophoresis For The Separation Of DNA Fragments",	<i>Electrophoresis</i> , 13, 512-520 (1992)
EJ	Heller et al., "Fluorescent Detection Methods In PCR Analysis", <u>The Polymerase Chain Reaction</u> . Eds. Mullis et al. (Birkhanuser) (1994)	
EK	Hopfield et al., "A Molecular Shift Register Based On Electron Transfer",	<i>Science</i> , 241, 817-820, August 12, 1988
EL	Horejsi, "Some Theoretical Aspects Of Affinity Electrophoresis",	<i>Jnl. Of Chromatography</i> , 1-13 (1979)

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EM	Horejsi et al., "Determination Of Dissociation Constants Of Lectin Sugar Complexes By Means Of Affinity Electrophoresis", <i>Biochemica et Biophysica Acta</i> , 499, 290-300 (1977)	
EN	Iakoubova et al., "Oncogene Amplification Screening By Labeled Primer Multiplex Polymerase Chain Reaction", <i>Modern Pathology</i> , 7, (7), 784-789, September, 1994	
EO	Keller et al., <u>DNA Probes</u> . (New York: Stockton Press), 104-108 (1989)	
EP	Kornberg, <u>DNA Synthesis</u> . Eds. William H. Freeman (San Francisco) (1974)	
EQ	Krishnakumar et al., "Deposition and Characterization Of Thin Ferroelectric Lead Lanthanum Zirconate Titanate (PLTZ) Films On Sapphire For Spatial Light Modulators Applications", <i>IEEE Transactions On Ultrasonics, Ferroelectrics & Frequency Control</i> , 38, (6), 585-590, November, 1991	
ER	Lee et al., "Interfacial Properties Of InAlAs/InGaAs High FETs & MIS Capacitors", <i>Semiconductor Science & Technology</i> , 5, 716-720 (1990)	
ES	Lin et al., "Two Dimensional Spatial Light Modulators Fabricated In Si/PLZT", <i>Appl. Opt.</i> , 29, (11), April, 1990	
ET	Mansoonian et al., "A Comparison Of Transmitter Technologies For Digital Free-Space Optical Interconnection", Submitted To <i>Applied Optics</i> , July, 1994	
EU	Matthews et al., <i>Analytical Biochemistry</i> , 169, 1-25 (1988)	
EV	McAlear et al., <u>Molecular Electronic Devices II</u> . Eds. Carter (New York: Marcel Dekker), 623-633 (1987)	
EW	Misiura et al., <i>Nucleic Acids Research</i> , 18, (15), 4345-54 (1990)	
EX	Mizuno, <i>The Organic Chemistry Of Nucleic Acids</i> (Tokyo: Elsevier), 181-200 (1986)	
EY	Morrison et al., "Solution Phasing Detection Of Polynucleotides Using Interacting Fluorescent Labels & Competitive Hybridization", <i>Anal. Biochem.</i> , 183, 231-244 (1989)	
EZ	Moses, "Bioelectronics: 'Biochips'", <u>Biotechnology: The Science & The Business</u> , ch 21, 371-378 (1991)	
FA	Niemeyer, "DNA As A Material For Nanotechnology", <i>Agnew Chem. Int. Ed. Engl.</i> , 36, 585-587 (1997)	
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)		
	FH	Shih et al., "Integration Of InAlGaAs/InGaAs MODFET's On MQW Modulators On GaAs Substrates", <i>Electronic Letters</i> , 30, (20), September, 1994
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